

**New York State Department of Environmental Conservation  
Division of Management & Budget Services, 10<sup>th</sup> Floor**

625 Broadway, Albany, New York 12233-5010

**Phone:** (518) 402-9228 • **Fax:** (518) 402-9023

**Website:** [www.dec.ny.gov](http://www.dec.ny.gov)



Joe Martens  
Commissioner

Ms. Judith Enck  
Regional Administrator  
U.S. Environmental Protection Agency  
Region II Office  
290 Broadway  
New York, New York 10007-1866

JUL 30 2013

**Attention:** Mr. Roch Baamonde, Chief  
Grants & Contracts Management Branch

**Re:** New York Clean Water State Revolving Fund  
Capitalization Grant for 2013

Dear Ms. Enck:

Enclosed for your review and approval are revised application pages for the Capitalization Grant for New York's Clean Water State Revolving Fund (CWSRF) Program that includes both the FFY 2013 allocation based on the final FFY 2013 budget and the deobligated Construction Grants Program in the event funds become available for award.

This application requests the following funding:

FFY 2013 CWSRF funds	\$147,369,000
Unliquidated Obligations (CG)	\$8,000,000
Total	\$155,369,000

These funds will be used to provide low interest financings to eligible recipients for water quality protection projects.

The State and USEPA are partners in assisting New York's communities and not-for-profit organizations in preventing or abating water pollution problems. The continued cooperation that has been evidenced in the past will help assure the continued success of our mutual efforts.

We appreciate your efforts to review and award this grant application in a timely manner. If you have any questions about this application, call Bill Brizzell or David Bradley of the NYS Environmental Facilities Corporation (EFC) at 518-402-7396.

Sincerely,

Nancy W. Lussier  
Director of Management and Budget

Enclosures: a/s

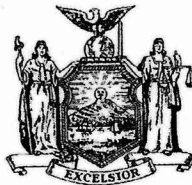
c: Ms. Thompkins, USEPA - Region II  
Mr. Vida, USEPA - Region II

**NEW YORK STATE  
CLEAN WATER STATE REVOLVING FUND  
FEDERAL FISCAL YEAR 2013  
REVISED CAPITALIZATION GRANT APPLICATION**

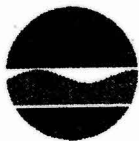
**JULY 31, 2013**

**PREPARED FOR:  
U.S. ENVIRONMENTAL PROTECTION AGENCY  
REGION II OFFICE  
OFFICE OF POLICY AND MANAGEMENT  
GRANTS AND CONTRACTS MANAGEMENT BRANCH  
290 BROADWAY, 27<sup>TH</sup> FLOOR  
NEW YORK, NEW YORK 10007-1866**

**SUBMITTED BY:**



**STATE OF NEW YORK**



**DEPARTMENT OF  
ENVIRONMENTAL CONSERVATION  
Joseph J. Martens, Commissioner**



**ENVIRONMENTAL FACILITIES CORPORATION  
Matthew J. Driscoll, President and CEO**

**NEW YORK STATE CLEAN WATER STATE REVOLVING FUND  
FEDERAL FFY 2013 CAPITALIZATION GRANT  
CONTENTS**

Revised Federal Capitalization Grant Application Required Forms

- Application for Federal Assistance (SF-424) with original signature (including SF-424A Budget Information and Assurances for Non-Construction Programs (SF-424B).
- Pre-award Compliance Review Report (EPA Form 4700-4)
- Method of Payment

Source of State Match

**FEDERAL CAPITALIZATION GRANT APPLICATION**

**REQUIRED FORMS**



**Application for Federal Assistance SF-424**

**\* 1. Type of Submission:**

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

**\* 2. Type of Application:**

- ☐ New  
☒ Continuation  
☐ Revision

**\* If Revision, select appropriate letter(s):**

\* Other (Specify)

**\* 3. Date Received:**

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**\* 5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

\* a. Legal Name: NYS Department of Environmental Conservation

\* b. Employer/Taxpayer Identification Number (EIN/TIN):  
14-6013200

\* c. Organizational DUNS:  
806780912

**d. Address:**

\* Street1: 625 Broadway

Street2:

\* City: ALBANY

County:

\* State: NY

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code: 12233-5022

**e. Organizational Unit:**

Department Name:

NYS Department of Environmental Conservation

Division Name:

WATER

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix: MR

\* First Name: TIMOTHY

Middle Name: P

\* Last Name: BURNS

Suffix:

P.E.

Title: Director of Engineering and Program Management

Organizational Affiliation:

NYS Environmental Facilities Corporation

\* Telephone Number: 518-402-7396

Fax Number: 518-402-7456

\* Email: timothy.burns@efc.ny.gov

**Application for Federal Assistance SF-424**

**9. Type of Applicant 1: Select Applicant Type:**

A. State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

United States Environmental Protection Agency - Region II

**11. Catalog of Federal Domestic Assistance Number:**

66-458

CFDA Title:

Capitalization Grants for Clean Water State Revolving Funds

**\* 12. Funding Opportunity Number:**

\* Title:

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Statewide

**\* 15. Descriptive Title of Applicant's Project:**

Capitalization Grant to provide funds for the New York State Clean Water State Revolving Fund Program established pursuant to Title VI of the Clean Water Act.

Attach supporting documents as specified in agency instructions.

**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant NY-020

\* b. Program/Project NY-ALL

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

\* a. Start Date: 10/1/2012

\* b. End Date: 9/30/2019

**18. Estimated Funding (\$):**

\* a. Federal \$155,369,000

\* b. Applicant

\* c. State \$31,073,800

\* d. Local

\* e. Other

\* f. Program Income

\* g. TOTAL \$186,442,800

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

☒ a. This application was made available to the State under the Executive Order 12372 Process for review on

8/17/2012

☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☐ c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.) Applicant Federal Debt Delinquency Explanation**

☐ Yes

☒ No

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:

Ms.

\* First Name: Nancy

Middle Name:

W

\* Last Name:

Lussier

Suffix:

\* Title:

Director of Management and Budget

\* Telephone Number:

518-402-9237

Fax Number: 518-402-9230

\* Email:

nwlussie@gw.dec.state.ny.us

\* Signature of Authorized Representative:



\* Date Signed:

07-30-2013

**Application for Federal Assistance SF-424**

**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

# BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

## SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. CWSRF 2013	66.458	\$	\$	\$ 141,474,240.00	\$ 29,473,800.00	\$ 170,948,040.00
2. Admin 2013				5,894,760.00		5,894,760.00
3. CWSRF CG	66.458			7,680,000.00	1,600,000.00	9,280,000.00
4. Admin CG				320,000.00		320,000.00
5. Totals		\$ 0.00	\$ 0.00	\$ 155,369,000.00	\$ 31,073,800.00	\$ 186,442,800.00

## SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$ 461,129.00	\$	\$ 461,129.00
b. Fringe Benefits			270,913.00		270,913.00
c. Travel					0.00
d. Equipment					0.00
e. Supplies					0.00
f. Contractual					0.00
g. Construction					0.00
h. Other	185,578,993.00				185,578,993.00
i. Total Direct Charges (sum of 6a-6h)	185,578,993.00	0.00	732,042.00	0.00	186,311,035.00
j. Indirect Charges			131,765.00		131,765.00
k. TOTALS (sum of 6i and 6j)	\$ 185,578,993.00	\$ 0.00	\$ 863,807.00	\$ 0.00	\$ 186,442,800.00
7. Program Income	\$	\$	\$	\$	\$ 0.00

Previous Edition Usable

Authorized for Local Reproduction

Standard Form 424A (Rev. 7-97)  
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. CWSRF	\$	\$ 31,073,800.00	\$	\$ 31,073,800.00	
9.				0.00	
10.				0.00	
11.				0.00	
12. TOTAL (sum of lines 8-11)	\$ 0.00	\$ 31,073,800.00	\$ 0.00	\$ 31,073,800.00	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 155,369,000.00	\$	\$	\$ 155,369,000.00	\$
14. Non-Federal	31,073,800.00			31,073,800.00	
15. TOTAL (sum of lines 13 and 14)	\$ 186,442,800.00	\$ 0.00	\$ 0.00	\$ 186,442,800.00	\$ 0.00
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16CWSRF	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

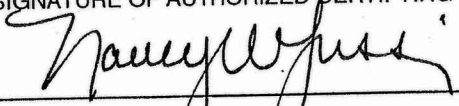
1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of the project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 795), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provision of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a-7), the Copeland Act (40 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act

(40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplain in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential

components of the national wild and scenic rivers system.

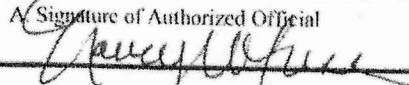
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.)
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE <b>Director of Management and Budget</b>
APPLICANT ORGANIZATION <b>New York State Department of Environmental Conservation</b>	DATE SUBMITTED <b>07-30-2013</b>



**Preadward Compliance Review Report for  
All Applicants and Recipients Requesting EPA Financial Assistance**

*Note: Read instructions on other side before completing form.*

I. Applicant/Recipient (Name, Address, State, Zip Code).		DUNS No.
NYS Department of Environmental Conservation, 625 Broadway, Albany, NY, 12233		806780912
II. Is the applicant currently receiving EPA assistance?		
Yes		
III. List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)		
One (1) case pending. No determination at this time.		
IV. List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)		
None		
V. List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken. (40 C.F.R. § 7.80(c)(3))		
None		
VI. Is the applicant requesting EPA assistance for new construction? If no, proceed to VII; if yes, answer (a) and/or (b) below.		
Yes <input checked="" type="checkbox"/> No		
a. If the grant is for new construction, will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? If yes, proceed to VII; if no, proceed to VI(b).                      Yes                      No		
b. If the grant is for new construction and the new facilities or alterations to existing facilities will not be readily accessible to and usable by persons with disabilities, explain how a regulatory exception (40 C.F.R. § 7.70) applies.                      Yes                      No		
VII.* Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95) <input checked="" type="checkbox"/> Yes                      No		
a. Do the methods of notice accommodate those with impaired vision or hearing? <input checked="" type="checkbox"/> Yes                      No		
b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for education programs and activities, in appropriate periodicals and other written communications? <input checked="" type="checkbox"/> Yes                      No		
c. Does the notice identify a designated civil rights coordinator? <input checked="" type="checkbox"/> Yes                      No		
VIII.* Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a))		
N/A		
IX.* Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency? (40 C.F.R. Part 7, E.O. 13166)		
Yes		
X.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator.		
Juan Abadia, NYSDEC, 625 Broadway, Albany, NY 12233-5064		
XI.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures.		
Policy CP-41 - <a href="http://Internal.dec.state.ny.us/msbs/msbs68.html">http://Internal.dec.state.ny.us/msbs/msbs68.html</a>		
<b>For the Applicant/Recipient</b>		
I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.		
A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
	Director, Mgmt. & Budget Services	6/2/13
<b>For the U.S. Environmental Protection Agency</b>		
I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all preaward compliance information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies the preaward provisions of 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.		
A. Signature of Authorized EPA Official	B. Title of Authorized EPA Official	C. Date
See ** note on reverse side		

## METHOD OF PAYMENT

☒ Automated Standard Application for Payments (ASAP)

August 2013 or upon grant award

\$155,369,000

# SOURCE OF STATE MATCH

## NEW YORK STATE CLEAN WATER CAPITAL BUDGET

SFY	AMOUNT APPROPRIATED	CUMULATIVE
89-90 through 02-03	\$462,613,000	
03-04	\$30,174,000	\$492,787,000
04-05	\$28,893,000	\$521,680,000
05-06	\$29,602,000	\$551,282,000
06-07	\$29,600,000	\$580,882,000
07-08	\$29,600,000	\$610,482,000
08-09	\$29,600,000	\$640,082,000
09-10	\$29,600,000	\$669,682,000
10-11	\$29,600,000	\$699,282,000
11-12	\$35,000,000	\$734,282,000
12-13	\$35,000,000	\$769,282,000
	<b>\$769,282,000</b>	

## REQUIRED STATE MATCH (@ 20%)

FFY	FEDERAL GRANT	STATE MATCH
89-90 through 02-03	\$2,309,586,281	\$461,917,255
03-04	\$146,280,420	\$29,256,084
04-05	\$118,939,293	\$23,787,859
05-06	\$96,656,373	\$19,331,275
06-07	\$118,135,611	\$23,627,122
07-08	\$75,108,221	\$15,021,644
08-09	\$75,109,023	\$15,021,805
09-10	\$224,898,000	\$44,979,600
10-11	\$162,993,000	\$32,598,600
"no year" CG funds	\$64,244,506	\$12,848,901
11-12	\$157,205,222	\$31,441,044
12-13	\$147,369,000	\$29,473,800
	<b>\$3,696,524,950</b>	<b>\$739,304,989</b>

SFY State fiscal year = April 1 to March 31

FFY Federal fiscal year = October 1 to September 30

**New York State Department of Environmental Conservation  
Division of Management & Budget Services, 10<sup>th</sup> Floor**

625 Broadway, Albany, New York 12233-5010

**Phone:** (518) 402-9228 • **Fax:** (518) 402-9023

**Website:** [www.dec.ny.gov](http://www.dec.ny.gov)



Joe Martens  
Commissioner

SEP 26 2012

Ms. Judith Enck  
Regional Administrator  
U.S. Environmental Protection Agency  
Region II Office  
290 Broadway  
New York, New York 10007-1866

Attention: Mr. Roch Baamonde, Chief  
Grants & Contracts Management Branch

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Sincerely,

Nancy W. Lussier  
Director of Management and Budget

Enclosures: a/s

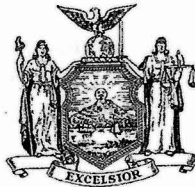
c: Ms. Thompkins, USEPA - Region II  
Mr. Vida, USEPA - Region II

**NEW YORK STATE  
CLEAN WATER STATE REVOLVING FUND  
FEDERAL FISCAL YEAR 2013  
CAPITALIZATION GRANT APPLICATION**

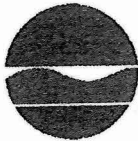
**SEPTEMBER 30, 2012**

**PREPARED FOR:  
U.S. ENVIRONMENTAL PROTECTION AGENCY  
REGION II OFFICE  
OFFICE OF POLICY AND MANAGEMENT  
GRANTS AND CONTRACTS MANAGEMENT BRANCH  
290 BROADWAY, 27<sup>TH</sup> FLOOR  
NEW YORK, NEW YORK 10007-1866**

**SUBMITTED BY:**



**STATE OF NEW YORK**



**DEPARTMENT OF  
ENVIRONMENTAL CONSERVATION  
Joseph J. Martens, Commissioner**



**ENVIRONMENTAL FACILITIES CORPORATION  
Matthew J. Driscoll, President and CEO**

**NEW YORK STATE CLEAN WATER STATE REVOLVING FUND  
FEDERAL FFY 2013 CAPITALIZATION GRANT  
CONTENTS**

**Federal Capitalization Grant Application Required Forms**

- Key Contacts Form (EPA Form 5700-54 and Additional Key Contacts)
- Application for Federal Assistance (SF-424) with original signature (including SF-424A Budget Information and Assurances for Non-Construction Programs (SF-424B).
- Pre-award Compliance Review Report (EPA Form 4700-4)
- Clearinghouse Coordination: Evidence of Compliance with Intergovernmental Review (State Agency Notice of Prospective Application for Federal Aid)
- Lobbying and Litigation Certification For Grants and Cooperative Agreements (EPA Form 5700-53)
- Method of Payment
- Proof of active status in the System for Award Management (SAM) (formerly Central Contractor Registration Database)

**Source of State Match**

**Completed Checklist of Application Items to be Submitted**

**Submitted under separate cover**

- FFY 2013 Intended Use Plan (IUP) – Will be sent under separate cover
- Attorney General's Certification
- MBE/WBE Utilization under Federal Grants, etc. (EPA form 5700-52A) – Submitted under separate cover quarterly as required

**FEDERAL CAPITALIZATION GRANT APPLICATION**

**REQUIRED FORMS**



**KEY CONTACTS FORM**

**Authorized Representative:** *Original awards and amendments will be sent to this individual for review and acceptance, unless otherwise indicated.*

Name: Nancy Lussier

Title: Director of Management & Budget

Complete Address: NYS Department of Environmental Conservation, Division of Management & Budget  
10th Floor, 625 Broadway, Albany, New York 12233

Phone Number: 518-402-9228

**Payee:** *Individual authorized to accept payments.*

Name: Michael Giovannone

Title: Associate Accountant

Mail Address: NYS Department of Environmental Conservation  
625 Broadway, Albany, New York 12233

Phone Number: 518-402-9376

**Administrative Contact:** *Individual from Sponsored Program Office to contact concerning administrative matters (i.e., indirect cost rate computation, rebudgeting requests etc.)*

Name: Michael Malinoski

Title: Controller & Director of Corporate Operations

Mailing Address: NYS Environmental Facilities Corporation  
625 Broadway, Albany, New York 12207-2997

Phone Number: 518-486-9267

FAX Number: 518-486-9233

E-Mail Address: Michael.Malinoski@efc.ny.gov

**Principal Investigator:** *Individual responsible for the technical completion of the proposed work.*

Name: Timothy P. Burns, P.E.

Title: Director of Engineering & Program Management

Mailing Address: NYS Environmental Facilities Corporation  
625 Broadway, Albany, New York 12207-2997

Phone Number: 518-402-7396

FAX Number: 518-402-7456

E-Mail Address: Timothy.burns@efc.ny.gov

Web URL: www.efc.ny.gov





## ADDITIONAL KEY CONTACTS

(Use as many sheets as needed.)

**Major Co-Investigators:** *Individual responsible for the completion of major portions of the proposed work.*

Name: William A. Brizzell, Jr., P.E.  
 Title: Program Manager of Technical Support Section  
 Mailing Address: NYS Environmental Facilities Corporation  
625 Broadway, Albany, New York 12207-2997  
 Phone Number: 518-402-7396  
 FAX Number: 518-402-7456  
 E-Mail Address: william.brizzell@efc.ny.gov  
 Web URL: www.efc.ny.gov

**Major Co-Investigators:** *Individual responsible for the completion of major portions of the proposed work.*

Name: Cheryle Webber  
 Title: Acting M/WBE Manager  
 Mailing Address: NYS Environmental Facilities Corporation  
625 Broadway, Albany, New York 12207-2997  
 Phone Number: 518-402-7396  
 FAX Number: 518-402-7456  
 E-Mail Address: cheryle.webber@efc.ny.gov  
 Web URL: www.efc.ny.gov

**Major Co-Investigators:** *Individual responsible for the completion of major portions of the proposed work.*

Name: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Mailing Address: \_\_\_\_\_  
 \_\_\_\_\_  
 Phone Number: \_\_\_\_\_  
 FAX Number: \_\_\_\_\_  
 E-Mail Address: \_\_\_\_\_  
 Web URL: \_\_\_\_\_

### Application for Federal Assistance SF-424

**\* 1. Type of Submission:**

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

**\* 2. Type of Application:**

- ☐ New  
☒ Continuation  
☐ Revision

**\* If Revision, select appropriate letter(s):**

**\* Other (Specify)**

**\* 3. Date Received:**

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**\* 5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:** NYS Department of Environmental Conservation

**\* b. Employer/Taxpayer Identification Number (EIN/TIN):**

14-6013200

**\* c. Organizational DUNS:**

806780912

**d. Address:**

**\* Street1:** 625 Broadway

**Street2:**

**\* City:** ALBANY

**County:** ALBANY

**\* State:** NY

**Province:**

**\* Country:** USA: UNITED STATES

**\* Zip / Postal Code:** 12233-5022

**e. Organizational Unit:**

**Department Name:**

NYS Department of Environmental Conservation

**Division Name:**

WATER

**f. Name and contact information of person to be contacted on matters involving this application:**

**Prefix:** MR

**\* First Name:** TIMOTHY

**Middle Name:** P

**\* Last Name:** BURNS

**Suffix:** P.E.

**Title:** Director of Engineering and Program Management

**Organizational Affiliation:**

NYS Environmental Facilities Corporation

**\* Telephone Number:** 518-402-7396

**Fax Number:** 518-402-7456

**\* Email:** timothy.burns@efc.ny.gov

**Application for Federal Assistance SF-424**

**9. Type of Applicant 1: Select Applicant Type:**

A. State Government

**Type of Applicant 2: Select Applicant Type:**

**Type of Applicant 3: Select Applicant Type:**

**\* Other (specify):**

**\* 10. Name of Federal Agency:**

United States Environmental Protection Agency - Region II

**11. Catalog of Federal Domestic Assistance Number:**

66-458

**CFDA Title:**

Capitalization Grants for Clean Water State Revolving Funds

**\* 12. Funding Opportunity Number:**

**\* Title:**

**13. Competition Identification Number:**

**Title:**

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Statewide

**\* 15. Descriptive Title of Applicant's Project:**

Capitalization Grant to provide funds for the New York State Clean Water State Revolving Fund Program established pursuant to Title VI of the Clean Water Act.

Attach supporting documents as specified in agency instructions.

**Application for Federal Assistance SF-424****16. Congressional Districts Of:**

\* a. Applicant NY-021

\* b. Program/Project NY-ALL

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

\* a. Start Date: 10/1/2012

\* b. End Date: 9/30/2019

**18. Estimated Funding (\$):**

\* a. Federal \$137,250,000

\* b. Applicant

\* c. State \$27,450,000

\* d. Local

\* e. Other

\* f. Program Income

\* g. TOTAL \$164,700,000

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☒ a. This application was made available to the State under the Executive Order 12372 Process for review on

8/17/2012

☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.☐ c. Program is not covered by E.O. 12372.**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.) Applicant Federal Debt Delinquency Explanation**☐ Yes☒ No

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:

Ms.

\* First Name:

Nancy

Middle Name:

W

\* Last Name:

Lussier

Suffix:

\* Title:

Director of Management and Budget

\* Telephone Number:

518-402-9237

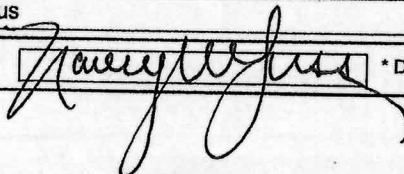
Fax Number:

518-402-9230

\* Email:

nwlussie@gw.dec.state.ny.us

\* Signature of Authorized Representative:



\* Date Signed:

09/26/12

**Application for Federal Assistance SF-424**

**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

**BUDGET INFORMATION - Non-Construction Programs****SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. CWSRF 2013	66.458	\$	\$	\$ 124,080,000	\$ 25,850,000	\$ 149,930,000
2. Admin 2013				5,170,000		5,170,000
3. CWSRF CG	66.458			7,680,000	1,600,000	9,280,000
4. Admin CG				320,000		320,000
5. Totals		\$	\$	\$137,250,000	\$27,450,000	\$164,700,000

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel			461,129		461,129
b. Fringe Benefits			231,302		231,302
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other	163,856,935				163,856,935
i. Total Direct Charges (sum of 6a-6h)	163,856,935		692,431		164,549,366
j. Indirect Charges			150,634		150,634
k. TOTALS (sum of 6i and 6j)	\$163,856,935	\$	\$843,065	\$	\$164,700,000
7. Program Income	\$	\$	\$	\$	\$



SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. CWSRF	\$	\$ 27,450,000.00	\$	\$ 27,450,000.00	
9.				0.00	
10.				0.00	
11.				0.00	
12. TOTAL (sum of lines 8-11)	\$ 0.00	\$ 27,450,000.00	\$ 0.00	\$ 27,450,000.00	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 137,250,000.00	\$	\$	\$ 137,250,000.00	\$
14. Non-Federal	27,450,000.00			27,450,000.00	
15. TOTAL (sum of lines 13 and 14)	\$ 164,700,000.00	\$ 0.00	\$ 0.00	\$ 164,700,000.00	\$ 0.00
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16CWSRF	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

**CLEAN WATER STATE REVOLVING FUND PROGRAM  
FFY 2013 ADMINISTRATION BUDGET**

<u>Grant Funds</u>	<u>4% Administration</u>	
FFY 2013 grant	5,490,000	
<u>FFY 2013 Projected Expenses Category</u>	<u>Total Eligible Administration</u>	<u>Total Fundable Eligible Administration Cost</u>
Personal Service	6,332,000	
Fringe Benefits (44.72%)	2,832,000	
Travel	42,000	
Equipment	73,000	
Supplies & Materials	84,000	
Contractual Services	51,200	
Other Budget	88,100	
Total Direct Expenses	9,502,300	
Indirect Costs (27.53%)	2,523,000	
EFC Expenses	12,025,300	5,490,000
Expected DEC Grant Draw Expenses	843,065	
Total Expenses	12,868,365	



## **CWSRF FFY13 BREAKDOWN OF ADMIN. PS and NPS EXPENSES**

### **Personal Service Costs:**

See attached list

**6,332,000**

### **Fringe benefits (44.72%)**

Consists of health insurance, Social Security, pensions, Worker's Compensation, dental insurance, unemployment insurance, vision benefits, Medicare, Long Term Disability

**2,832,000**

### **NPS expenses:**

#### **Travel**

The Corporation's responsibilities with the Program will have staff travel to IUP hearings, application workshops, client assistance meetings, inspections and bond pricing and closings in New York City for CWSRF bond issues

**42,000**

#### **Equipment**

Computer hardware such as servers (\$2,500 - \$5,000), CPUs, monitors, back up systems, security appliance for computer, Storage Area Network (SAN) (\$7,350 - \$17,150), printer, copiers, etc.

57,500

Office peripherals such as fax machines, file cabinets, desks and chairs, etc.

15,500

**73,000**

#### **Supplies & Materials**

Office supplies, computer software, hardware & maintenance

**84,000**

### **Breakdown of supplies & materials:**

Computer software and supplies: toner cartridges, color printer supplies; software purchase: content management/workflow (\$24,500 - \$50,000) security software, software updates, maintenance, etc.

68,700

General office supplies: pens, pencils, copier paper, folders, calendars, calculators, etc.

15,300

# CWSRF FFY13 BREAKDOWN OF ADMIN. PS and NPS EXPENSES

<b>Contractual Services</b>		<b>51,200</b>
Consultants		
<b>Other Budget</b>		<b>88,100</b>
Printing of the CWSRF IUP, training, insurance, postage, telephone & miscellaneous, etc.		
Printing	8,000	
Training (On going contract):	16,900	
Training would consist of applicable computer training, and SRF related training, i.e. CIFA, NYWEA, etc.		
Insurance: CW share of auto, computer, liability and property insurance	8,900	
Postage	9,800	
Telephone	25,200	
Miscellaneous: Subscriptions, books, journals and any other unforseen program costs.	19,300	
<b>Indirect costs (27.53%)</b>		<b>2,523,000</b>
<b>Expected DEC Grant Draw Expenses</b>		<b>843,065</b>
Personal service, fringe and indirect costs		
<b>Grand Total</b>		<b>12,868,365</b>

Note: All items anticipated to be purchased in FFY2013 with a cost over \$5,000 are listed within the Administrative Budget. Prior approval from EPA will be obtained before the purchase of each and every item that has a cost of \$5,000 or more.

## Anticipated DEC CWSRF Personnel Budget FFY 2013

<i>Program</i>	<i>Payroll Costs</i>	<i>Fringe Benefits</i>	<i>Indirect</i>	<i>Total Cost</i>
<i>SRF - Administration</i>	\$65,192.00	\$32,700.31	\$8,604.73	\$106,497.04
	\$88,256.00	\$44,269.21	\$11,648.97	\$144,174.18
<i>Total - SRF Administration</i>	\$153,448.00	\$76,969.52	\$20,253.70	\$250,671.22
<i>SRF Water</i>	\$66,714.00	\$33,463.74	\$28,270.16	\$128,447.90
	\$64,455.00	\$32,330.63	\$27,312.90	\$124,098.53
	\$88,256.00	\$44,269.21	\$37,398.61	\$169,923.82
	\$88,256.00	\$44,269.21	\$37,398.61	\$169,923.82
	\$307,681.00	\$154,332.79	\$130,380.29	\$592,394.08
<b><i>Grand Total</i></b>	<b>\$461,129.00</b>	<b>\$231,302.31</b>	<b>\$150,633.99</b>	<b>\$843,065.30</b>

## ASSURANCES – NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

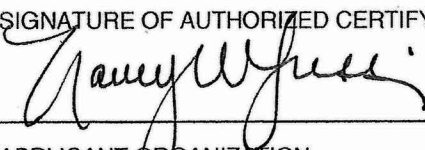
1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of the project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 795), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provision of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a-7), the

Copeland Act (40 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplain in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential

components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.)
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE <b>Director of Management and Budget</b>
APPLICANT ORGANIZATION <b>New York State Department of Environmental Conservation</b>	DATE SUBMITTED <b>SEP 26 2012</b>



**Preadward Compliance Review Report for  
All Applicants and Recipients Requesting EPA Financial Assistance**

*Note: Read instructions on other side before completing form.*

<b>I. Applicant/Recipient (Name, Address, State, Zip Code).</b> <b>NYS Department of Environmental Conservation, 625 Broadway, Albany, NY, 12233</b>	<b>DUNS No.</b> <b>806780912</b>
<b>II. Is the applicant currently receiving EPA assistance?</b> <b>Yes</b>	
<b>III. List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)</b> <p align="center"><b>One (1) case pending. No determination at this time.</b></p>	
<b>IV. List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.)</b> <p align="center"><b>None</b></p>	
<b>V. List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken. (40 C.F.R. § 7.80(c)(3))</b> <p align="center"><b>None</b></p>	
<b>VI. Is the applicant requesting EPA assistance for new construction? If no, proceed to VII; if yes, answer (a) and/or (b) below.</b> <div style="display: flex; justify-content: space-between;"> <span><b>Yes</b></span> <span><input checked="" type="checkbox"/> <b>No</b></span> </div>	
<b>a. If the grant is for new construction, will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? If yes, proceed to VII; if no, proceed to VI(b).</b> <span style="float: right;"><b>Yes</b> <b>No</b></span>	
<b>b. If the grant is for new construction and the new facilities or alterations to existing facilities will not be readily accessible to and usable by persons with disabilities, explain how a regulatory exception (40 C.F.R. § 7.70) applies.</b> <span style="float: right;"><b>Yes</b> <b>No</b></span>	
<b>VII.* Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95)</b> <span style="float: right;"><input checked="" type="checkbox"/> <b>Yes</b> <b>No</b></span>	
<b>a. Do the methods of notice accommodate those with impaired vision or hearing?</b> <span style="float: right;"><input checked="" type="checkbox"/> <b>Yes</b> <b>No</b></span>	
<b>b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for education programs and activities, in appropriate periodicals and other written communications?</b> <span style="float: right;"><input checked="" type="checkbox"/> <b>Yes</b> <b>No</b></span>	
<b>c. Does the notice identify a designated civil rights coordinator?</b> <span style="float: right;"><input checked="" type="checkbox"/> <b>Yes</b> <b>No</b></span>	
<b>VIII.* Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a))</b> <p align="center"><b>N/A</b></p>	
<b>IX.* Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency? (40 C.F.R. Part 7, E.O. 13166)</b> <span style="float: right;"><b>Yes</b></span>	
<b>X.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator.</b> <span style="float: right;"><b>Juan Abadia, NYSDEC, 625 Broadway, Albany, NY 12233-5064</b></span>	
<b>XI.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures.</b> <span style="float: right;"><b>Policy CP-41 - <a href="http://Internal.dec.state.ny.us/msbs/msbs68.html">http://Internal.dec.state.ny.us/msbs/msbs68.html</a></b></span>	

**For the Applicant/Recipient**

I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.

A. Signature of Authorized Official

B. Title of Authorized Official

**Director, Mgmt. & Budget Services**

C. Date **MAY - 1 2012**

**For the U.S. Environmental Protection Agency**

I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all preaward compliance information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies the preaward provisions of 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.

A. Signature of Authorized EPA Official

B. Title of Authorized EPA Official

C. Date

See \*\* note on reverse side

### **Clearinghouse Letters**

Attached are the following:

- List of Clearinghouse contacts who were contacted regarding the 2013 CWSRF Capitalization Grant.
- Sample letter from Michael Giovannone of NYSDEC dated **August 17, 2012**.
- NYS Certification of Distribution of Application Review Package

Note that the comments/responses to the intergovernmental review process were directed to USEPA.

**ADDRESSES**  
**NY State Reviewing Agencies**

<p><b>ALBANY, RENSSELAER, SCHENECTADY, SARATOGA</b></p> <p><b>Mr. Rocky Ferraro, AICP</b> <b>Executive Director</b> <b>Capital District Regional Planning Commission</b> <b>One Park Place Suite 102</b> <b>Albany, NY 12205</b> <b>Tel. (518) 453-0850</b> <b>Fax (518) 453-0856</b> <b>Email: <a href="mailto:Rocky@cdrpc.org">Rocky@cdrpc.org</a></b> <b>*Will accept electronic project proposals</b></p>	<p><b>BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS</b></p> <p><b>Mr. Erik Miller, Director</b> <b>Southern Tier East Planning Board</b> <b>375 State St.</b> <b>Binghamton, NY 13901-2385</b> <b>Tel. (607)724-1327 x212</b> <b>Fax (607)724-1194</b> <b>Email: <a href="mailto:emiller@stenvy.org">emiller@stenvy.org</a></b> <b><a href="mailto:Director.stenvy@gmail.com">Director.stenvy@gmail.com</a></b> <b>*Will accept electronic project proposals</b></p>
<p><b>CHAUTAUQUA, CATTARAUGUS, ALLEGANY</b></p> <p><b>Ms. Sarah Phearsdorg</b> <b>Southern Tier West RPB</b> <b>4039 Route 219, Suite 200</b> <b>Salamanca, NY 14779-9625</b> <b>Tel. (716) 945-5301</b> <b>Email: <a href="mailto:sphearsdorfe@southerntierwest.org">sphearsdorfe@southerntierwest.org</a></b> <b>*Will accept electronic project proposals</b></p>	<p><b>CHEMUNG, SCHUYLER, STEUBEN</b></p> <p><b>Ms. Marcia Weber</b> <b>Southern Tier Central</b> <b>Regional Planning Bd.</b> <b>8 Denison Parkway East, Suite 310</b> <b>Corning, NY 14830</b> <b>Tel. (607)962-5092</b> <b>Fax (607)962-3400</b> <b>Email: <a href="mailto:weber@stny.rr.com">weber@stny.rr.com</a></b> <b>*Will accept electronic project proposals</b></p>
<p><b>COLUMBIA</b></p> <p><b>Waive right to review all proposed projects</b></p>	<p><b>DUTCHESS</b></p> <p><b>Waive right to review all proposed projects</b></p>
<p><b>ERIE, NIAGARA</b></p> <p><b>Waive right to review all proposed projects</b></p>	<p><b>FRANKLIN</b></p> <p><b>Waive right to review all proposed projects</b></p>



<p><b>FULTON</b></p> <p>Waive right to review all proposed projects</p>	<p><b>GENESSE, LIVINGSTON, MONROE, ONTARIO, ORLEANS, SENECA, WAYNE, YATES, WYOMING</b></p> <p>Ms. Rudeen Armstrong Genesee/FingerLakes Regional Planning Cncl. City Place, 50 West Main Street, Suite 8107 Rochester, NY 14614 Tel. (585) 454-0190 Fax (585) 454-0191 *Will <u>not</u> accept electronic project proposals *Only reviewing proposals that are specific to Brownfields and Waste Water</p>
<p><b>GREENE</b></p> <p>Waive right to review all proposed projects</p>	<p><b>JEFFERSON</b></p> <p>Mr. Donald CanField Jefferson County Planning Dept. 175 Arsenal St. Watertown, NY 13601 Tel. (315)785-3144 Fax (315)785-5092 Email: <a href="mailto:donc@co.jefferson.ny.us">donc@co.jefferson.ny.us</a> *Will <u>not</u> accept electronic project proposals</p>
<p><b>LEWIS</b></p> <p>Waive right to review all proposed projects</p>	<p><b>MONTGOMERY</b></p> <p>Waive right to review all proposed projects</p>
<p><b>NASSAU</b></p> <p>Waive right to review all proposed projects</p>	<p><b>NEW YORK CITY and NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION</b></p> <p>Waive right to review all proposed projects</p>
<p><b>ORANGE</b></p> <p>Mr. David Church Orange County Planning Dept. 124 Main St. Goshen, NY 10924 Tel. (845) 615-3840 Fax (845) 291-2533 Email: <a href="mailto:Dchurch@orangecountygov.com">Dchurch@orangecountygov.com</a> *Will accept electronic project proposals</p>	<p><b>OSWEGO, ONONDAGA, MADISON, CAYUGA</b></p> <p>Ms. Carol Faucher or David Bottar Central New York Regional Planning Board 126 N. Salina Street Syracuse, NY 13202-1050 Tel. (315)422-8276 Fax (315)422-9051 Email: <a href="mailto:mail@cnyrpd.org">mail@cnyrpd.org</a> *Will <u>not</u> accept electronic project proposals</p>

<p><b>PUTNAM</b></p> <p><b>Waive right to review all proposed projects</b></p>	<p><b>ROCKLAND</b></p> <p><b>Ms. Arlene Miller</b>  <b>Rockland County Department of Planning</b>  <b>Robert Yeager Health Center, Building T</b>  <b>50 Sanatorium Road</b>  <b>Pomona, NY 10970</b>  <b>Tel. (845) 364-3434</b>  <b>Fax (914) 638-5686</b>  <b>Email: <a href="mailto:Millera@co.rockland.ny.us">Millera@co.rockland.ny.us</a></b>  <b>*Will accept electronic project proposals</b></p>
<p><b>ST. LAWRENCE</b></p> <p><b>Waive right to review all proposed projects</b></p>	<p><b>SUFFOLK</b></p> <p><b>Waive right to review all proposed projects</b></p>
<p><b>SULLIVAN</b></p> <p><b>Waive right to review all proposed projects</b></p>	<p><b>ULSTER</b></p> <p><b>Mr. Dennis Doyle</b>  <b>Ulster County Planning Board</b>  <b>Box 1800</b>  <b>244 Fair St.</b>  <b>Kingston, NY 12401</b>  <b>Tel. (845) 340-3339</b>  <b>Fax (845) 340-3429</b>  <b>Email: <a href="mailto:planning@co.ulster.ny.us">planning@co.ulster.ny.us</a></b></p>
<p><b>WESTCHESTER</b></p> <p><b>Mr. Edward Buroughs</b>  <b>Commissioner of Planning</b>  <b>Westchester County Department of Planning</b>  <b>148 Martine Avenue, Room 432</b>  <b>White Plains, NY 10601-4704</b>  <b>Tel. (914 ) 995-4402</b>  <b>Email: <a href="mailto:EEB6@westchestergov.com">EEB6@westchestergov.com</a></b>  <b>*Will accept electronic project proposals</b>  <b>*Only reviewing proposals with a threshold of \$200,000.</b></p>	<p><b>HERKIMER, ONEIDA</b></p> <p><b>Waive right to review all proposed projects</b></p> <p><b>CLINTON, ESSEX, HAMILTON, WARREN, WASHINGTON</b></p> <p><b>Waive right to review all proposed projects</b></p>

**New York State Department of Environmental Conservation**  
**Division of Management & Budget Services, 10<sup>th</sup> Floor**  
625 Broadway, Albany, New York 12233-5010  
**Phone:** (518) 402-9228 • **Fax:** (518) 402-9023  
**Website:** [www.dec.ny.gov](http://www.dec.ny.gov)



August 17, 2012

Mr. Rocco A. Ferraro, AICP  
Executive Director  
Capital District Regional Planning Commission  
One Park Place Suite 102  
Albany, NY 12205

Dear Mr. Ferraro:

Enclosed for your review and comment is the Federal Standard Form 424 "Application for Federal Assistance" as our request for intergovernmental review of the Federal Fiscal Year 2013 Clean Water State Revolving Fund Capitalization Grant application to the USEPA. Award of the proposed Federal Grant will enable the Department of Environmental Conservation to continue to capitalize the New York Clean Water State Revolving Fund. We are notifying Area-Wide Clearinghouses of our intent to apply for Federal aid for this program.

Please provide a response to this request by September 17, 2012. We have prepared a form to assist in your response that may be completed, signed and returned to Mr. Roch Baamonde at the address below. Please provide a copy of your response to Mr. Timothy P. Burns, P.E. at the address below.

Roch Baamonde, Chief  
Grants & Contract Management Branch  
USEPA Region 2  
290 Broadway  
New York, New York 10007-1866

Mr. Timothy P. Burns, P.E.  
Director, Engineering and Program Mgmt.  
NYS Environmental Facilities Corporation  
625 Broadway  
Albany, NY 12207

Should you have any questions, please feel free to phone the Program Director, Mr. William A. Brizzell, P.E., at (518) 402-7396.

Sincerely,



Michael Giovannone  
Associate Accountant

Enclosures: a/s

c: Mr. Timothy P. Burns, P.E. - NYSEFC

**New York State Clean Water State Revolving Fund  
Clearinghouse/Review Agency Response**

**August 2012**

This is in response to the intergovernmental review process regarding the 2013 Clean Water State Revolving Fund (CWSRF) Capitalization Grant application for the New York State to the USEPA.

- ☐ support the application
- ☐ support the application with attached comments
- ☐ comments attached

In addition please indicate if you wish to be contacted for future intergovernmental review of CWSRF Capitalization Grant application.

- ☐ We do NOT wish to be contacted for future intergovernmental reviews on this type of application in the future.
- ☐ YES, continue to include this clearinghouse in the intergovernmental review process.

\_\_\_\_\_  
(date)

\_\_\_\_\_  
Rocco Ferraro, AICP  
Capital District Regional Planning Commission

## REVIEWING AGENCIES

The Application Review Package has been sent to the Reviewing Agencies checked below:

- ☐ United States Environmental Protection Agency Region II, Grants and Contracts Management

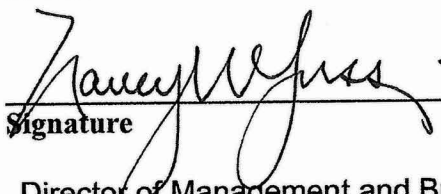
### AREAWIDE REVIEWING AGENCIES:

<input checked="" type="checkbox"/> ALBANY, RENNSLAER, SCHENECTADY, SARATOGA	<input checked="" type="checkbox"/> GENESSE, LIVINGTON, MONROE, ONTARIO, ORLEANS, SENECA, WAYNE, YATES, WYOMING	<input checked="" type="checkbox"/> ULSTER
<input checked="" type="checkbox"/> BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS	<input checked="" type="checkbox"/> JEFFERSON	<input checked="" type="checkbox"/> WESTCHESTER
<input checked="" type="checkbox"/> CHAUTAUQUA, CATTARAUGUS, ALLEGANY	<input checked="" type="checkbox"/> ORANGE	<input type="checkbox"/> N/A ALL COUNTIES
<input checked="" type="checkbox"/> CHEMUNG, SCHUYLER, STEUBEN	<input checked="" type="checkbox"/> OSWEGO, ONONDAGA, MADISON, CAYUGA	<input type="checkbox"/> N/A NO APPLICABLE COUNTIES REVIEWING AGENCIES
<input type="checkbox"/> N/A ERIE, NIAGARA	<input type="checkbox"/> N/A PUTNAM	
<input type="checkbox"/> N/A FRANKLIN	<input checked="" type="checkbox"/> ROCKLAND	

The undersigned certifies that an Application Review Package consisting of the items checked below has been sent to the required Reviewing Agencies for review.

- (1) FEDERAL FORM 424 (Box 16 must be completed)
- (2) PROJECT SUMMARY DESCRIBING PROPOSED ACTIVITIES
- (3) CERTIFICATION OF DISTRIBUTION OF APPLICATION REVIEW PACKAGE
- (4) SITE LOCATION MAP (For construction projects only)
- (5) PROJECT INFORMATION FORM (For construction projects only)

This Application Review Package will not be processed unless this form is signed and dated below.

  
 Signature  
 Director of Management and Budget  
 Title

09/26/12  
 Date signed



United States  
Environmental Protection Agency

EPA Project Control Number

## CERTIFICATION REGARDING LOBBYING

### CERTIFICATION FOR CONTRACTS, GRANTS, LOANS AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31 U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Nancy Lussier, Director of Management and Budget

Typed Name & Title of Authorized Representative

Signature and Date of Authorized Representative

*Nancy Lussier* 09/20/12



## METHOD OF PAYMENT



**Automated Standard Application for Payments (ASAP)**

January 2013 or upon grant award

\$137,250,000

ENVIRONMENTAL CONSERVATION, NEW YORK DEPARTMENT OF  
DUNS: 806780912 CAGE Code: 1SKP6  
Status: Active

625 BROADWAY  
ALBANY, NY, 12207-2942,  
UNITED STATES

**Entity Overview****Entity Information**

DUNS: 806780912  
Name: ENVIRONMENTAL CONSERVATION, NEW YORK  
DEPARTMENT OF  
Business Type: US State Government  
POC Name: None Specified  
Registration Status: Active  
Expiration Date: 01/31/2013

**Exclusions**

Active Exclusion Records? No

SAM | System for Award Management 1.0

IBM v1.207.20120914-1821

WWW8

**Note to all Users:** This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.



USA.gov

# SOURCE OF STATE MATCH

## NEW YORK STATE CLEAN WATER CAPITAL BUDGET

SFY	AMOUNT APPROPRIATED	CUMULATIVE
89-90 through 02-03	\$462,613,000	
03-04	\$30,174,000	\$492,787,000
04-05	\$28,893,000	\$521,680,000
05-06	\$29,602,000	\$551,282,000
06-07	\$29,600,000	\$580,882,000
07-08	\$29,600,000	\$610,482,000
08-09	\$29,600,000	\$640,082,000
09-10	\$29,600,000	\$669,682,000
10-11	\$29,600,000	\$699,282,000
11-12	\$35,000,000	\$734,282,000
12-13	\$35,000,000	\$769,282,000
	<b>\$769,282,000</b>	

### REQUIRED STATE MATCH (@ 20%)

FFY	FEDERAL GRANT	STATE MATCH
89-90 through 02-03	\$2,309,586,281	\$461,917,255
03-04	\$146,280,420	\$29,256,084
04-05	\$118,939,293	\$23,787,859
05-06	\$96,656,373	\$19,331,275
06-07	\$118,135,611	\$23,627,122
07-08	\$75,108,221	\$15,021,644
08-09	\$75,109,023	\$15,021,805
09-10	\$224,898,000	\$44,979,600
10-11	\$162,993,000	\$32,598,600
"no year" CG funds	\$64,244,506	\$12,848,901
11-12	\$157,205,222	\$31,441,044
12-13	\$137,250,000	\$27,450,000
	<b>\$3,686,405,950</b>	<b>\$737,281,189</b>

SFY State fiscal year = April 1 to March 31

FFY Federal fiscal year = October 1 to September 30

## CHECKLIST OF APPLICATION ITEMS TO BE SUBMITTED

After you have completed your application, narrative descriptions, and other required forms, please review this application checklist to ensure that all required documents have been completed for submittal.

- ☒ **Key Contact Form**
- ☒ **Application for Federal Assistance (SF-424) with Original Signatures** (Including SF-424A Budget Information and Assurances for Non-Construction Programs SF-424B)
- ☒ **Itemized Budget (Detailed)**
- ☒ **Assurances: Non-Construction Programs**
- ☒ **EPA Form 4700-4 Pre-Award Compliance Review Report for All Applicants Requesting Federal Financial Assistance (Civil Rights Form) - EEO Contact** Mavis Johnson (212) 637-3339.
- ☐ N/A **Narrative Statement / Workplan** (Including statement on how this project supports your environmental program)
- ☒ **Certification of Distribution of Application Review Package** (Proof of compliance with Intergovernmental review)
- ☐ N/A **Data on Past Grants Experience / Financial Administration** (for applicants new to EPA REGION 2, e.g. Audit Reports, Narrative Description of Past Grants with the Federal Government, and the Federal Agency Contact for the Single Audit Requirement)
- ☐ N/A **Biographical Sketch of the Project Manager** (for applicants other than State, local government and Indian Tribes)
- ☒ **Certification Regarding Lobbying / Disclosure of Lobbying Activities**
- ☐ N/A **Certification of Tax Status if you are a Non-Profit or Not-for-Profit Organization** (for 501(c)(3) and (4) organizations, please attach copy of your most current IRS determination letter)
- ☐ N/A **Negotiated Indirect Cost Rate Agreement**
- ☒ **Include the Dun and Bradstreet (D&B) Data Universal Number System (DUNS) in the SF-424 Form**
- ☒ **Current registration in the Central Contractor Registration (CCR) Database**

**CHECKLIST OF APPLICATION ITEMS TO BE SUBMITTED**  
(Continued)

- ☐ N/A **For other than continuing programs, please indicate below the appropriate status of your application package to assist us in facilitating the review process:**
- ☐ Submitting application package in response to a competitive announcement  
List announcement number \_\_\_\_\_ or Title \_\_\_\_\_
- ☐ Submitting in response to discussion with EPA Staff  
Please identify name \_\_\_\_\_
- ☐ Submitting without input from or discussion with EPA, and not in response to a competitive announcement
- ☐ N/A **Congressional Earmarks:**
- ☐ Submitting application package in response to a Congressional Earmark  
(If known) Please identify name of Congressional Sponsor \_\_\_\_\_  
(If known) Please identify the appropriation Bill in which the earmark appears \_\_\_\_\_

**\*NOTE:** Please note that the information contained in this application may be made available to the public unless you identify specific portions that are confidential and may not be released. Please clearly identify specific confidential business information contained in this application.

**RETURN COMPLETED APPLICATION TO:**

**MR. ROCH BAAMONDE, CHIEF  
U.S. ENVIRONMENTAL PROTECTION AGENCY, REGION 2  
GRANTS AND CONTRACTS MANAGEMENT BRANCH  
290 BROADWAY, 27th FLOOR  
NEW YORK, NEW YORK 10007-1866**

**ADDITIONAL ITEMS SENT UNDER SEPARATE COVER**

FFY 2013 Intended Use Plan (IUP)

Attorney General's Certification

MBE/WBE Utilization under Federal Grants, etc.

Submitted under separate cover quarterly as required





**Southern Tier West**  
**Regional Planning & Development Board**

*James Cooper, Chairman*  
*Richard T. Zink, Executive Director*

ENVIRONMENTAL PROTECTION  
AGENCY, REGION 2  
2012 SEP 25 PM 4:49  
GRANTS & CONTRACTS  
MANAGEMENT STANCH

*Yvette*

September 19, 2012

Timothy Burns, PE  
Director, Engineering and Program Mgmt.  
NYS Environmental Facilities Corporation  
625 Broadway  
Albany, New York 12207

RE: Clean Water State Revolving Fund Capitalization Grant  
STW # 12.032

Dear Mr. Burns:

In accordance with the Intergovernmental Review Process (Executive Order 12372), the above noted project has been referred to, and reviewed by organizations in the Southern Tier West Region. There have been no comments received or made by this Areawide Clearinghouse at this time.

Should there be a change in the proposed project; a revised form 424 must be submitted to this office for a new review. If you have any questions regarding this matter, please feel free to contact me.

Sincerely,

*Sarah Phearsdorf*

Sarah Phearsdorf  
Publications Associate

cc: Roch Baamonde, USEPA Region 2

New York State Clean Water State Revolving Fund  
Clearinghouse/Review Agency Response

August 2012

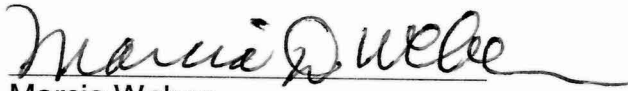
This is in response to the intergovernmental review process regarding the 2013 Clean Water State Revolving Fund (CWSRF) Capitalization Grant application for the New York State to the USEPA.

- ☒ support the application  
☐ support the application with attached comments  
☐ comments attached

In addition please indicate if you wish to be contacted for future intergovernmental review of CWSRF Capitalization Grant application.

- ☐ We do NOT wish to be contacted for future intergovernmental reviews on this type of application in the future.  
☒ YES, continue to include this clearinghouse in the intergovernmental review process.

9/18/12  
(date)

  
Marcia Weber  
Southern Tier Central Regional Planning Board

ENVIRONMENTAL PROTECTION  
AGENCY, REGION 2  
2012 SEP 25 PM 4:49  
GRANTS & CONTRACTS  
MANAGEMENT SECTION

**New York State Clean Water State Revolving Fund  
Clearinghouse/Review Agency Response**

**August 2012**

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☐ support the application with attached comments  
☐ comments attached

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☒ YES, continue to include this clearinghouse in the intergovernmental review process.

8/17/12  
(date)

  
Rocco Ferraro, AICP  
Capital District Regional Planning Commission

ENVIRONMENTAL PROTECTION  
AGENCY REGION 2  
2017 AUG 22 AM 10:48  
GRANTS & CONTRACTS  
MANAGEMENT BRANCH

**New York State Clean Water State Revolving Fund  
Clearinghouse/Review Agency Response**

*yvette*  
**August 2012**

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- ☒ support the application
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- ☐ YES, continue to include this clearinghouse in the intergovernmental review process.

8-20-2012  
(date)

*Arlene Miller*  
Arlene Miller  
Rockland County Department of Planning

ENVIRONMENTAL PROTECTION  
AGENCY REGION 2  
2012 AUG 27 PM 5:10  
GRANTS & CONTRACTS  
MANAGEMENT BRANCH

**New York State Clean Water State Revolving Fund  
Clearinghouse/Review Agency Response**

**August 2012**

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- ☐ comments attached

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8/20/2012  
(date)

Edward Burroughs  
Edward Burroughs  
Westchester County Department of Planning

ENVIRONMENTAL PROTECTION  
AGENCY, REGION 2  
2012 AUG 23 AM 11:31  
GRANTS & CONTRACTS  
MANAGEMENT BRANCH